

**ROCKY FLATS ENVIRONMENTAL
TECHNOLOGY SITE**

**ERPD ADMINISTRATIVE
PROCEDURES MANUAL
CATEGORY 1**

Manual No.:

2-11000-ER-ADM

(a.k.a. 3-21000-ADM)

Procedure No.:

Table of Contents, Rev 23

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1 of 2

Effective Date:

10/31/94

Organization:

Environmental Restoration

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ENVIRONMENTAL RESTORATION PROGRAM DIVISION
ADMINISTRATIVE PROCEDURES MANUAL**

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**DOCUMENT CLASSIFICATION
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ADMINISTRATIVE

A-SW-001325

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| 08.01 | Control and Identification of Items, Samples, and Data | 0 | 04/08/92 |
| 08.02 | 2-G32-ER-ADM-08.02 Evaluation of ERM Data for Usability in Final Reports | 0 | 10/21/94 |
| 94-DMR-001986 | Laboratory Detection Limit | 0 | 10/21/94 |
| 10.01 | Inspections | 0 | 04/08/92 |
| 12.01 | Control of Measuring and Test Equipment | 0 | 04/08/92 |
| 15.01 | Control of Nonconforming Items and Activities | 1 | 10/12/92 |
| 16.01 | Corrective Action | 0 | 04/08/92 |
| •17.01 | 2-G18-ER-ADM-17.01 Records Capture and Transmittal | 0* | 10/31/94 |
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| •17.09 | 2-N96-ER-ADM-17.09 Records Identification, Preliminary Preparation, and Creation | 0 | 10/31/94 |
| 18.02 | Surveillance Activities | 1 | 04/08/92 |
| 18.03 | 2-G21-ER-ADM-18.03 Readiness Assessments | 1 | 08/24/94 |
| 18.05 | 2-G23-ER-ADM-18.05 Environmental Restoration Management Self Evaluation | 0 | 07/15/94 |
| AQD.08 | Preparation of EPA Form R | 1 | 10/10/91 |

This is a RED Stamp

Rocky Flats Environmental Technology Site

2-N96-ER-ADM-17.09

REVISION 0

RECORDS IDENTIFICATION, PRELIMINARY PREPARATION, AND CREATION

APPROVED BY: *[Signature]* IECMGst FOR SS signed 9/30/94
Director, Print Name Date
Environmental Restoration Program Division

[Signature] IRS LUKER 1 9.30.94
Quality Assurance Manager, Print Name Date
Data Management and Reporting Services

DOE RFFO/ER Concurrence on file: ☐ Yes ☐ No ☒ NA

Environmental Protection Agency Approval Received: ☐ Yes ☐ No ☒ NA

Responsible Organization: Environmental Restoration Program Division

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[Signature]

CONCURRENCE BY THE FOLLOWING DISCIPLINES WILL BE DOCUMENTED IN THE
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Data Management & Reporting Services
Environmental Operations Management
Group 1 OU Closure
Industrial Area OU Closure
OU 2 Closure
OU 5,6,7 Closures
Solar Ponds Project
Records Management

USE CATEGORY 3

ORC review not required

The following have been incorporated in this revision:

94-DMR-001648

Periodic review frequency: 1 year from the effective date

DOCUMENT CLASSIFICATION REVIEW WAIVER
PER R.B. HOFFMAN, CLASSIFICATION OFFICE
JUNE 11, 1991

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1. PURPOSE

This procedure establishes the administrative instructions and responsibilities for identifying, preparing, and creating Environmental Restoration Program Division (ERPD) records.

This procedure implements the document development requirements of:

- ERPD Quality Assurance Program Description (QAPD), Section 4.2, Quality Records.
- EG&G Rocky Flats Sitewide Quality Assurance Project Plan (QAPjP) for CERCLA Remedial Investigations/Feasibility Studies and RCRA Facility Investigations/Corrective Measures Studies Activities.
- 1-77000-RM-001, Records Management Guidance for Records Sources.

2. SCOPE

This procedure applies to ERPD Rocky Flats Environmental Technology Site employees and subcontractors performing work for the ERPD.

This procedure applies to Quality Assurance (QA), non-QA, and Administrative Records (AR), including field records, that are generated for the ERPD organization.

This procedure addresses the following topics:

- Identification of Records
- Preparation of Documents
- Generation and Informal Review of Preliminary Draft Documents
- Creation of Draft Documents
- Release of Final Documents

3. OVERVIEW

This procedure provides the guidelines for identifying, preparing, and creating records documenting ERPD activities. A document is considered a valid record upon authentication, approval, and submittal to the ERPD Project File Center (PFC).

4. DEFINITIONS

Records. Any written or pictorial information describing, defining, specifying, reporting, or certifying activities, requirements, procedures, or results of work. Records may be paper copies, laboratory notebooks, photographs, microfilm, radiographic film, or electronic or optical media.

Records Capture Statements. A written statement that identifies records that are created or generated as a result of the activities performed. The Records Capture Statement also identifies the records as QA, non-QA, or ARs.

5. RESPONSIBILITIES

5.1 ERP Document Control Center (DCC) Personnel (functional title)

Assign ERP document identification numbers.

Prepares document covers.

5.2 ERP Managers

Ensure that all personnel are appropriately trained and qualified to perform the duties, tasks, and responsibilities of their assigned jobs.

Identify the documents and records to be generated or received as a result of ERP activities.

Authorize individuals within respective area of responsibility to generate and authenticate records.

5.3 ERP Records Source (functional title)

Ensures that QA records created are appropriately identified; are legible, accurate, and completed appropriate to the work accomplished; and are authenticated by authorized personnel.

Ensures that records documenting ERP activities are prepared and authenticated in accordance with approved policies and requirements, including those designated in this procedure.

Ensures that documents that are to become ERP records (both quality and nonquality), record package segments, and record packages are protected from deterioration, loss, larceny, or damage.

6. INSTRUCTIONS

6.1 Identification of Records

ERPД Managers

- [1] Designate the new or revised documents to be generated.
- [2] Authorize an individual to prepare and generate the document and function as the ERPД Records Source.
- [3] Develop Records Capture Statements for the document that identifies the records generated as a result of the activity being performed.

Appendix 1, Records Capture Statement Format, provides an example of the format for the statement.

- [4] Designate one of the following descriptions to the records generated by the document using Appendix 2, ERPД Records Identification Guidelines:
 - QA record
 - Non-QA record
 - Potential AR
- [5] IF the document is a Request for Proposal or Contract,
THEN:
 - [A] Ensure that the document contains a section requiring subcontractor or vendor compliance for managing records.
 - [B] Specify that the subcontractor identify the records to be created and that the records are to be transmitted to the ERPД PFC.

6.2 Preparation of Documents

NOTE *Appendix 3, Requirements Governing the Preparation and Creation of ERPД Documents, provides a list of the documents used to identify, prepare, and generate ERPД documents.*

ERPД Records Source

- [1] See Appendix 3 to identify the appropriate ERPД document creation instructions.
- [2] Submit any correspondence created in accordance with Plant Policy 2-21, Correspondence Control.
- [3] Ensure that the journal articles and bulletins generated as a result of ERPД activities meet the requirements of Plant Policy 2.9, Release of Information.

6.2 Preparation of Documents (continued)

ERPD Records Source (continued)

- [4] Contact the ERPD DCC to obtain a document identification number.
- [5] IF the document is a controlled document,
THEN process the document in accordance with 2-11000-ER-ADM-06.01;
Document Control Process.
- [6] Ensure that the document contains a Records Capture Statement, as appropriate.

NOTE *The PFC can provide 1-hr. fire protected storage cabinets for the protection of in-process QA records, if requested.*

- [7] Ensure that the documents that are to become records, record package segments, and record packages are protected from deterioration, loss, larceny, or damage.

ERPD DCC Personnel

- [8] Assign document identification numbers to ERPD documents.

6.3 Generation and Informal Review of Preliminary Draft Documents

NOTE *A Preliminary draft provides an informal review, such as comments that are not formally documented. Preliminary drafts do NOT require capture into the PFC.*

ERPD Records Source

- [1] Do NOT process Preliminary Draft Documents into the PFC.
- [2] Mark preliminary drafts *PRELIMINARY DRAFT* in the upper right-hand corner of the cover.
- [3] Do NOT maintain the preliminary draft beyond the completion of a draft document.
- [4] DO NOT transmit the preliminary draft formally using official memorandum or letterhead stationary.

The ERPD staff typically circulates or receives preliminary draft documents using routing and transmittal slips or other informal transmittal notes.

6.4 Creation of Draft Documents

ERPD Records Source

- [1] Mark draft documents *DRAFT* in the upper right-hand corner of the cover.

6.4 Creation of Draft Documents (continued)

ERPD Records Source (continued)

- [2] Submit the draft document for review and comment resolution in accordance with the Appendix 3 procedure or document used to prepare the document, or submit the draft document in accordance with 2-E02-ER-ADM-05.05, ERM Document Review Process, as appropriate.
- [3] Ensure that the document meets the required records acceptance criteria in accordance with 2-G18-ER-ADM-17.01, Records Capture and Transmittal, Section 6.1, Review of Prepared Records.

6.5 Release of Final Documents

ERPD Records Source

- [1] Ensure that the records created are appropriately identified, as defined in Appendix 2, and are legible, accurate, and completed appropriate to the work accomplished.
- [2] Ensure that the document is authenticated by authorized personnel. Authentication is accomplished by one of the following methods:
 - Stamping, initialing or signing, and dating the document
 - Providing a cover sheet such as the example provided in Appendix 4, Example Layout of an Approval Sheet
 - Attaching or adding a written statement by the responsible individual or organization to the document
 - Issuing a document that is clearly identified as a statement by the reporting individual or organization
 - Signing the Records Transmittal Form in accordance with 2-G18-ER-ADM-17.01, Records Capture and Transmittal

A document cannot become a QA record until it has been authenticated.

- [3] Obtain a document cover sheet from the ERPD DCC.

ERPD DCC Personnel

- [4] Prepare the required number of covers for document distribution.

7. RECORDS

Management of all records is consistent with 1-77000-RM-001, Records Management Guidance for Records Sources.

ERPD Records Source

- [1] Ensure that the original and one copy of the Completed ERPD documents are transmitted to the ERPD PFC in accordance with 2-G18-ER-ADM-17.01.

7. RECORDS (continued)

Submission of record copies to the ERPD PFC satisfies AR requirements in accordance with 3-21000-ADM-17.02, Administrative Records Screening and Processing.

There are no nonquality records generated by this procedure.

8. REFERENCES

DOE Order 1324.2A, Records Disposition

EG&G Rocky Flats Sitewide Quality Assurance Project Plan (QAPjP) for CERCLA Remedial Investigations/Feasibility Studies and RCRA Facility Investigations/Corrective Measures Studies Activities, Section 17, Quality Records

ERPD Quality Assurance Plan Description, Section 4.2, Quality Records

Plant Policy 2-21, Correspondence Control

Plant Policy 2.9, Release of Information

1-77000-RM-001, Records Management Guidance for Records Sources

2-E02-ER-ADM-05.05, ERM Document Review Process

2-G18-ER-ADM-17.01, Records Capture and Transmittal

2-11000-ER-ADM-06.01, Document Control Process

3-21000-ADM-17.02, Administrative Records Screening and Processing

APPENDIX 1

Page 1 of 1

RECORDS CAPTURE STATEMENT FORMAT

Management of all records is consistent with 1-77000-RM-001, Records Management Guidance for Records Sources.

ERPD Records Source

- [1] Ensure that the original and one copy of the following quality-related records, as appropriate, are transmitted to the ERPD Project File Center (PFC) in accordance with 2-G18-ER-ADM-17.01, Records Capture and Transmittal:

-
-
-
-

Submission of record copies to the ERPD PFC satisfies AR requirements, as defined in 3-21000-ADM-17.02, Administrative Records Screening and Processing.

There are no nonquality records generated by this procedure.

APPENDIX 2

Page 1 of 2

ERP D RECORDS IDENTIFICATION GUIDELINES

QA RECORDS

QA records are originals or reproduced copies of documents that furnish evidence of the quality of items and activities affecting quality or safety. Such documents are considered QA records when the documents are authenticated; otherwise, the documents are considered in-process documents. QA records include, but are not limited to, the following (DOE Order 1324.2A, Records Disposition contains additional guidance):

- Individual documents that have been executed, completed, and approved and that furnish evidence of the quality and completeness of data, including raw data, and of activities affecting quality, such as:
 - As-built drawings
 - Chain-of-Custody forms
 - Data summary reports
 - Data validation
 - Field and laboratory calibration records
 - Logbooks
 - Survey reports
- Documents prepared and maintained to demonstrate implementation of QA programs such as:
 - Audits
 - Surveillance reports
 - Inspection reports
 - Nonconformance reports (NCRs)
 - Corrective Action reports (CARs)
 - Procedures
- Procurement contracting documents as specified in approved documents, such as Statements of Work or Sole Source Justifications.
- Other documents as specified in the ERP D QAPD and implementing administrative and operating procedures, and other ERP D approved documents, such as:
 - Training and qualification records
 - Health and Safety Plans
 - Permit compliance reports
 - Specifications
 - Drawings
 - Completed forms
 - Concurrence reports
- Other materials that document data quality, regardless of the physical form or characteristic, such as:
 - Maps
 - Photographs
 - Electronic medias

APPENDIX 2

Page 2 of 2

ERP RECORDS IDENTIFICATION GUIDELINES (continued)

A completed record is a document that will receive no more entries unless the document is revised (that would normally consist of the reissuance of the document) and is signed and dated by the originator and, as applicable, by personnel authorized to approve the document. Field records are not considered completed QA records until reviewed, verified, approved, and authenticated.

NOTE *PFC provides assistance in clarifying record types.*

NON-QA RECORD

Non-QA records are those records not meeting the criteria for QA record, such as:

- Weekly Monthly reports
- General correspondence
- Organizational charts
- Variance reports
- Five Year Plan
- Commitment tracking forms

ADMINISTRATIVE RECORD

The AR includes the documents considered or relied on by the DOE in making a response action decision for Rocky Flats. Documents considered by DOE are documents that were relied on in the decision-making process or comments that DOE solicited or received from regulators, other interested parties, and the public. The AR process is defined in 3-21000-ADM-17.02.

APPENDIX 3

Page 1 of 1

**REQUIREMENTS GOVERNING THE PREPARATION AND CREATION
OF ERPD DOCUMENTS**

| | |
|--------------------------------|--|
| AQD.08 | Preparation of EPA Form R |
| Correspondence | Rocky Flats Correspondence Guide |
| Health and Safety Plans | RFP Environmental Restoration Program Site Health and Safety Plan Workbook |
| HSP-2.11 | Job Safety Analysis |
| RFP/ER -MP -93IP.001 | Environmental Restoration Management Procedure Implementation Plan and Memorandum of Understanding with Plant Procedures Group |
| 2-E02-ER-ADM-05.05 | Final Release Procedure ERM Document Review Process |
| 2-E04-ER- ADM 05.07 | Preparation of Document Modification Request (DMR) |
| 2-E20-ER-ADM-05.09 | Work Plan Development |
| 2-G03-ER-ADM-03.01 | Verification and Control of Calculations and Technical Reports |
| 2-G06-ER-ADM-05.10 | Use of Controlled Scientific Notebooks |
| 2-G08-ER-ADM-05.12 | Control and Preparation of Technical Requirements and Specification Documents |
| 2-G09-ER-ADM-05.13 | Control and Preparation of Health and Safety Plans |
| 2-G10-ER-ADM-19.01 | Software Development and Control |
| 2-G25-ER-ADM-19.02 | Software Verification and Analysis |
| 2-21000-ADM-03.04 | Control of QAA Development |
| 3-21000-ADM-05.01 | Procedure Development |
| 3-21000-ADM-05.03 DCN-93.01 | RFI/RI Work Plan Development Technical Memoranda |
| 3-21000-ADM-05.08 | Forms Control |
| 3-21000-ADM-05.11 | Preparation of Instructions |

APPENDIX 4

Page 1 of 1

EXAMPLE LAYOUT OF AN APPROVAL SHEET

| | |
|--|------------------------|
| ROCKY FLATS ENVIRONMENTAL TECHNOLOGY SITE | |
| Document Number: | (obtain from ERPD DCC) |
| Section: (Sect. #, Rev. #) | Approval Sheet |
| Page: | 1 of 1 |
| Effective Date: | |
| Organization: | |
| TITLE: | |
| Health and Safety Plan, Operable Unit No. _____ | |
| Approved By: | |
| OU _____ Program Manager | Date _____ |
| OU _____ Program Manager | Date _____ |
| ERPD Health and Safety Officer | Date _____ |

SAMPLE